

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO.: 36287-04404	SERIAL NO.: 10/723,264
	APPLICANTS: GRAY, et al.	
	FILING DATE: November 26, 2003	GROUP ART UNIT: TBA

## U.S. PATENT DOCUMENTS

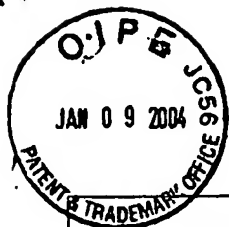
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

/ST/		Merrill Lynch & Co., Mandalay Resort Group, Floating Rate Convertible Senior Debentures due 2033; Offering Memorandum; 3/17/03
/ST/		Industry Issues Archive; SEC Adopts Proposals Regarding Exchanges and Alternative Trading Systems; <a href="http://www.ici.org/issues/mrkt/arc-sec/98_sec_ats_adopt.html">http://www.ici.org/issues/mrkt/arc-sec/98_sec_ats_adopt.html</a> ; 12/28/98
/ST/		Cowan, Arnold, R., Nayar, Nandkumar, Singh, Ajai K.; How high are investment banking fees? The case of standby underwritten convertible calls; 10/1999; <a href="http://www.bus.iastate.edu/arnie">http://www.bus.iastate.edu/arnie</a>
/ST/		Affiliated Managers Group, Inc.; \$200,000,000 Floating Rate High premium and Warrant Convertible Securities due 2033; Offering Memorandum; LIBC Feb. 2003

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/ST/		Merrill Lynch & Co.; \$250,000,000 Affiliated Managers Group, Inc. Floating Rate Convertible Senior Debentures due 2033; Offering Memorandum; 2/19/03
/ST/		Hoadley, Peter; Options Strategy Analysis Tools; <a href="http://www.hoadley.net/options/bs.htm">http://www.hoadley.net/options/bs.htm</a>
/ST/		DerivativesStrategy; Delta Hedging Problems and Solutions; <a href="http://www.derivativesstrategy.com/magazine/archive/1998/0398coll1.asp">http://www.derivativesstrategy.com/magazine/archive/1998/0398coll1.asp</a>
/ST/		Hauser, James L., Journal of Compensation and Benefits; The Stock Option Repricing Dilemma; November/December 2001
EXAMINER	/Scott Trotter/	DATE CONSIDERED 11/06/2007



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/ST/	6,567,790 B1	5/20/03	Slane			12/1/99

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/ST/		Applications of random walkers to Stock Pricing, <a href="http://www.math.mit.edu/stocker/18354.d/financial.pdf">www.math.mit.edu/stocker/18354.d/financial.pdf</a> ; Spring 2004

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